

## **APPENDIX A**

**FEB 01 2007**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In re United States Patent Application of:**

**Docket No.: 4197-114**

**Applicant:** Ralf-Uwe Bauer, et al.

**Examiner:** Not Yet Assigned

**Application No.: 10/088,751**

**Art Unit:** Not Yet Assigned

**Date Filed: March 20, 2002**

**Title: METHOD FOR PRODUCING CELLULOSE SHAPED-BODIES**



23448

PATENT &amp; TRADEMARK OFFICE

**FIRST CLASS MAIL CERTIFICATE**

I hereby certify that I am mailing the attached documents to the Commissioner for Patents on the date specified, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231, and First Class Mailed under the provisions of 37 CFR 1.8.

Katrumi Halam

## Katrina Holland

May 21, 2002

Date of Mailing

## INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

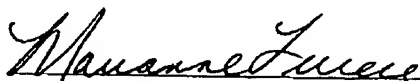
**Sir:**

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).
- ☐ c. Attached is our check no. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. §1.17(p). Please credit or debit Deposit Account No. \_\_\_\_\_ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check no. \_\_\_\_\_ in the amount of \$130.00 in payment of the petition fee under 37 C.F.R. §1.17(i)(1). Please credit or debit Deposit Account No. \_\_\_\_\_ as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).

Respectfully submitted,

  
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Sheet 1 of 1

FORM PTO-1449		US Dept. of Commerce Patent and Trademark Office		ATTORNEY DOCKET NO. 4197-114		SERIAL NO. 10/088,751	
INFORMATION DISCLOSURE STATEMENT  (use several sheets if necessary)				APPLICANT Ralf-Uwe Bauer, et al.			
				FILING DATE March 20, 2002		GROUP Not Yet Assigned	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO -
	A1	EP 0 047 929	04/09/1981	Germany	01		X
	A2	DE 3034685 A1	08/04/1982	Germany	08		X
	A3	DE 43 08 524 C1	22/09/1994	Germany	01		X
	A4	EP 0 727 439 A1	21/08/1996	Europe	08		X
	A5	WO 97/23666	03/07/1997	WIPO (Austria)	01		X
	A6	WO 97/31970	04/09/1997	WIPO (Germany)	08		X
	A7	WO 97/47790	18/12/1997	WIPO (Korea)	01		X
	A8	WO 98/05702	12/02/1998	WIPO (Austria)	08		X
	A9	WO 98/58103	23/12/1998	WIPO (Austria)	01		X
<b>OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)</b>							
	A10	XP-002161407 p.168-169					
	A11	H. Firgo, et al., Kritische Fragen Zur Zukunft Der NMMO-Technologie, Lenzinger Berichte p. 81-89 (1994)					
	A12	1996 Annual Review, Domain Industries, Inc., p.1-4 & 20-21					
	A13	D. Klemm, et al., Comprehensive Cellulose Chemistry, Fundamentals and Analytical Methods, Vol. 1, Wiley-VCH, p. 12-13 (1998)					
	A14	Dr. Herbert Sixta, et al., New Technology for the Production of High-Purity Dissolving Pulps, Wissenschaft + Technik, p. 220-234 (2001)					
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							